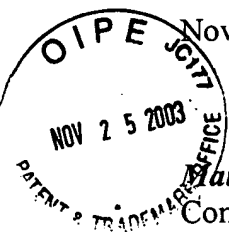




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November 25, 2003



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P.O. Box 1450  
Alexandria, VA 22313-1450

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DEC 03 2003  
**GROUP 3600**

Re: U.S. Patent Application Serial No. 09/536,258  
Filed: March 27, 2000  
For: **Hedging Exchange Traded Mutual Funds or Other Portfolio Basket Products**  
Inventor: G. Gastineau *et al.*  
Our Ref: 00322.0007.NPUS00

Sir:

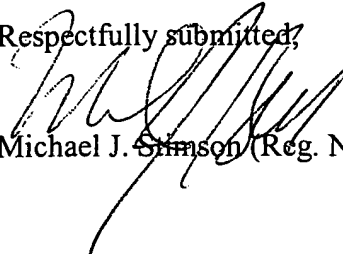
The following documents are forwarded for appropriate action by the U.S. Patent and Trademark Office:

1. Revocation of Prior Power of Attorney, Appointment of New Attorneys of Record and Change of Correspondence Address;
2. Statement Under 37 CFR 3.73 (b)
3. Return Receipt Postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee, or credit any overpayment, to our Deposit Account No. 08-3038. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 08-3038, referencing the above docket number. *A duplicate copy of this letter is enclosed.*

Respectfully submitted,

  
Michael J. Simon (Reg. No. 45,429)

Enclosures



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

REVOCATION OF PRIOR POWER OF ATTORNEY,  
APPOINTMENT OF NEW ATTORNEYS OF RECORD AND  
CHANGE OF CORRESPONDENCE ADDRESS

Commissioner for Patents  
Alexandria, VA 22313-1450

Sir:

The American Stock Exchange LLC is the assignee of the entire right, title and interest in the applications listed on the attached Schedule A.

The undersigned, having express authority to represent the American Stock Exchange LLC, hereby revokes all powers of attorney heretofore given in the applications listed on the attached Schedule A and appoints the attorneys listed below with full power of substitution, association, and revocation, to prosecute said applications and to transact all business in the U.S. Patent and Trademark Office connected therewith:

Abair, Jason C.	44,007	Davidson, Ross E.	41,698	Jardieu, Derek J.	44,483
Allen, Billy C.	46,147	Davis, James F.	21,072	Kaplan, Jonathan T.	38,935
Arnold, Tom	16,702	Deaver, Albert B.	34,318	Kammerer, Patricia A.	29,775
Auchterloine, Richard C.	30,607	Devlin, Gerard M.	43,586	Kee, Nelson	47,700
Auerbach, Robert P.	46,525	Dickinson, Todd	28,354	Kelley, Christopher L.	42,714
Barzoukas, Nicolas G.	38,823	Dickson, Mark S.	32,889	Keville, John R.	42,723
Bell, Michael J.	39,604	Dotson, Darrell G.	44,661	Kewalramani, Shashi H.	43,713
Benson, Christopher R.	31,941	Dowler, Michael S.	34,582	Kim, Brian S.	41,114
Bigornia, Luisa	45,974	Duffey, Gregg A.	42,501	Kim, Kyung (Drew)	47,706
Bilsker, David L.	39,611	Dudzik, Christine	31,245	King, Donna	45,962
Cagle, Steve H.	26,445	Dunham, Thomas M.	39,965	Klann, Amy	48,155
Cain, John C.	38,837	Durkee, William D.	20,337	Knoll, Susan A.	33,254
Caldwell, Rodney K.	26,152	Edwards, Stephen E.	38,865	Kung, Viola	41,131
Callahan, Celine T.	34,301	Finkelstein, Ira D.	44,680	Kuo, Vivian	45,456
Chassman, Peter J.	38,841	Flores-Jones, Connie J.	41,755	Laurenson, Robert C.	34,206
Chen, Jenny W.	44,604	Garber, Scott J.	43,627	Lavelle, Joe	31,036
Chiang, Robin	46,619	Gleason, Mark L.	39,998	Lechtenberger, J. Dean	34,859
Chowdhury, Indranil (Neil)	47,490	Gold, Darren	47,599	Lee, Michael E.	38,949
Cordrey, Gregory S.	44,089	Grimaldi, Alan	26,599	Lewis, Terril G.	46,065
Dalakis, Michael	47,322	Halluin, Albert P.	25,227	Livornese, Don F.	32,040
Davidson, Ben M.	38,424	Harbison, Suzy	45,139	Lundell, Craig M.	30,284
		Jackson, Brian L.	41,868	Lynch, John F.	22,504

Madsen, Matthew L.	45,594	Petri, Henry A.	33,063	Stimson, Michael	45,429
Matthews, Christopher A.	35,944	Piatricia, Andrew	40,772	Tower, Andrew	37,742
Mavrakakis, Thomas C.	39,763	Pistorino, James C.	44,290	Valentine, James F.	39,053
McAughan, Robert J.	36,599	Reese, Scott R.	47,891	Voelzke, Joel D.	37,957
McAusland, Iain	37,980	Rhodes, Glenn W.	31,790	Waack, Janelle D.	36,300
McDermott, Sean	49,000	Rooklidge, William C.	31,791	West, William	22,057
McWhirter, Jill	47,788	Rose, Collin A.	47,036	White, Carter J.	41,374
Meola, Anthony L.	44,936	Seaton, Bret	46,171	Whiting, Adam K.	44,400
Miller, Thomas A.	30,479	Schnurr, Richard A.	30,890	Whitt, Jayna R.	47,175
Moore, Matthew	42,012	Seka, Mark A.	44,330	Williamson, J. Paul	29,600
Nagel, Robert	45,353	Shurn III, Peter J.	29,439	Wong, Karen	44,409
Nation, Floyd R.	27,580	Shutter, Jon D.	41,311	Wu, Wallace	45,380
Nimmo, Anthony	30,920	Shvodian, Daniel T.	42,148	Zises, Matthew S.	47,246
Norris, John D.	28,246	Spears, Steven G.	43,926		
Parris, Tracy S.	46,980	Stanley, Richard L.	36,936		
Patterson, Melinda L.	33,062	Steinheider, Matt	47,968		

Please address future correspondence to

Michael J. Bell  
 U.S. PTO Customer Number 22930  
 HOWREY SIMON ARNOLD & WHITE, LLP  
 Box No. 34  
 1299 Pennsylvania Avenue, NW  
 Washington, DC 20004-2402

Please direct telephone calls regarding these applications to Michael J. Bell at (202) 383-6500.

AMERICAN STOCK EXCHANGE LLC

  
 Geraldine Brindisi  
 Vice President and Corporate Secretary

Date: November 20, 2003

## Schedule A

In re application of:	
Gary Gastineau <i>et al.</i>	<i>Confirmation No. 3493</i>
Application No. 09/536,633	Group Art: 3621
Filed: March 27, 2000	Examiner: Greene, Daniel
For: <b>Determining Intra-Day Net Asset value of an Actively Managed Exchange Traded Fund</b>	Atty Dkt. 00322.0008.NPUS00

In re application of:	
Gary Gastineau <i>et al.</i>	<i>Confirmation No. Unknown</i>
Application No. 09/815,589	Group Art: Unknown
Filed: March 23, 2001	Examiner: To be assigned
For: <b>Hedging Exchange Traded Mutual Funds and Other Portfolio Basket Products</b>	Atty Dkt. 00322.0007.CNUS00

In re application of:	
Unknown	<i>Confirmation No. Unknown</i>
Application No. 10/464,067	Group Art: To be Assigned
Filed: June 17, 2003	Examiner: To be assigned
For: <b>Hand Held Terminal Architecture in an Exchange</b>	Atty Dkt. .00322.0010.NPUS00

In re application of:	
Clifford Weber <i>et al.</i>	<i>Confirmation No. 5382</i>
Application No. 10/174,505	Group Art: 3621
Filed: June 17, 2002	Examiner: To be assigned
For: <b>Hedging Exchange Traded Mutual Funds or Other Portfolio Basket Products</b>	Atty Dkt. 00322.0009.NPUS00

In re application of:	
Gary L. Gastineau <i>et al.</i>	<i>Confirmation No. 3628</i>
Application No. 09/536,258	Group Art: 2641
Filed: March 27, 2000	Examiner: Charles, Debra F.
For: <b>Hedging Exchange Traded Mutual Funds or Other Portfolio Basket Products</b>	Atty Dkt. 00322.0007.NPUS00

In re application of:	
Brian Halloran	<i>Confirmation No. Unknown</i>
Application No. 60/389,688	Group Art: To be Assigned
Filed: March 27, 2000	Examiner: To Be Assigned.
For: <b>Booth Automated Routing System for an Exchange</b>	Atty Dkt. 00322.0010.PZUS02

In re application of:	
Brian Halloran	<i>Confirmation No. Unknown</i>
Application No. 60/390,009	Group Art: To Be Assigned
Filed: June 19, 2002	Examiner: To Be Assigned.
For: <b>Hand Held Terminal Architecture for an Exchange</b>	Atty Dkt. <b>00322.0010.PZUS01</b>

In re application of:	
Terry Norman.	<i>Confirmation No. Unknown</i>
Application No. 10/123,779	Group Art: To Be Assigned
Filed: April 16, 2002	Examiner: To Be Assigned.
For: <b>System for Pricing Financial Instruments</b>	Atty Dkt. <b>00322.0001.NPUS00</b>

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: The American Stock Exchange, LLCApplication No./Patent No.: 09/536,258 Filed/Issue Date: March 27, 2000Entitled: Hedging Exchange Traded Mutual Funds or Other Portfolio Basket ProductsThe American Stock Exchange, a Limited Liability Company

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 010662, Frame 0177, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
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The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

11/25/03  
Date  
202 383-6208  
Telephone number

Michel J. Stimson (Reg. No. 45,429)

Typed or printed name

Mr. Stimson  
Signature

Attorney for Applicant  
Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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